



1644  
PATENT

Case Docket No. MANNK.001CP2  
(formerly CTLIMM.001CP2)  
Date: August 22, 2003

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Kundig et al.  
App. No. : 09/776,232  
Filed : February 2, 2001  
For : METHOD OF INDUCING A CTL  
RESPONSE  
Examiner : Phuong Huynh  
Group Art Unit : 1644

Examiner Phuong Huynh  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Examiner Huynh:

Further to the Response to the Office Action filed via facsimile in the above-referenced case on August 13, 2003, enclosed are forty-seven (47) references cited as foreign patent documents and other documents in the Information Disclosure Statement (IDS), Paper No. 3, filed on May 3, 2001. In addition, for the convenience of the Examiner, a copy of the IDS is also enclosed.

As noted in the Office Action mailed April 14, 2003, these references were not submitted with the IDS filed on May 3, 2001 because they were previously submitted in the parent application (Application Serial No.: 09/380,534). The Examiner, however, was not able to locate the previously submitted references, and therefore, has requested that Applicants resubmit the references cited in the PTO Form 1449 as foreign patent documents and other documents. Accordingly, Applicants resubmit these references herewith.

**PATENT**

Case Docket No. MANNK.001CP2  
(formerly CTLIMM.001CP2)  
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If you have any questions or comments, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink, appearing to read "Sheila R. Gibson". The script is cursive and fluid.

Sheila R. Gibson  
Reg. No. 54,120

Enclosures

cc: Dale C. Hunt (w/o enclosures)  
Marc T. Morley (w/o enclosures)

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PATENT

Case Docket No. CTLIMM.001CP2

Date: May 3, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

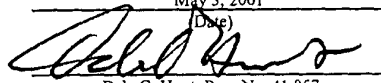
**COPY**

Applicants : Kündig, et al.  
Appl. No. : 09/776,232  
Filed : February 2, 2001  
For : A METHOD OF INDUCING  
A CTL RESPONSE  
Examiner : Unknown  
Group Art Unit : Unknown

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

May 3, 2001

(Date)

  
Dale C. Hunt, Reg. No. 41,857

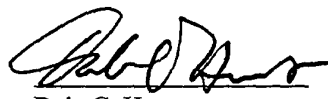
TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231  
ATTENTION: APPLICATION BRANCH

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 listing one hundred and twenty-two (122) references; nine (9) references are enclosed herewith.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

  
Dale C. Hunt  
Registration No. 41,857  
Attorney of Record



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**COPY**

Applicant : Kündig, et al. ) Group Art Unit Unknown  
App. No. : 09/776,232 )  
Filed : February 2, 2001 )  
For : A METHOD OF INDUCING A )  
CTL RESPONSE )  
Examiner : Unknown )

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed is form PTO-1449 listing one hundred and twenty-two (122) references. Enclosed herewith are references 26, 66, 90-91, and 112-116. The references 1-25, 27-65, 67-89, 92-111, and 117-122 were of record in U.S. Patent Application Serial No. 09/380,534, filed September 1, 1999, from which the above-identified application claims priority under 35 U.S.C §120. Accordingly, pursuant to 37 C.F.R. § 1.98(d), these references are not enclosed. This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 3 May 2001

By: 

Dale C. Hunt  
Registration No. 41,857  
Attorney of Record  
620 Newport Center Drive  
Sixteenth Floor  
Newport Beach, CA 92660  
(619) 235-8550

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CTLIMM.001CP2APPLICATION NO.  
09/776,232INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(ATTACH SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Kündig, et al.FILING DATE  
February 2, 2001GROUP  
Unknown**COPY**


## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	3,604,417	9/14/71	Stolzenberg et al.			
	2	3,732,865	5/15/73	Higuchi, et al.			
	3	3,760,804	9/25/73	Higuchi, et al.			
	4	3,760,805	9/25/73	Higuchi			
	5	3,760,984	9/25/73	Theeuwes			
	6	3,929,132	12/30/75	Higuchi			
	7	3,987,790	10/26/76	Eckenhoff, et al.			
	8	3,995,631	12/7/76	Higuchi, et al.			
	9	3,995,632	12/7/76	Nakano, et al.			
	10	4,034,756	7/12/77	Higuchi, et al.			
	11	4,203,440	5/20/80	Theeuwes			
	12	4,286,067	8/25/81	Theeuwes			
	13	4,300,558	11/12/81	Eckenhoff et al.			
	14	4,304,232	12/8/81	Michaels			
	15	4,340,048	7/20/82	Eckenhoff			
	16	4,340,054	7/20/82	Michaels			
	17	4,350,271	9/21/82	Eckenhoff			
	18	4,367,741	1/11/83	Michaels			
	19	4,435,173	3/6/84	Siposs et al.			
	20	4,439,199	3/27/84	Amkraut et al.			
	21	4,450,198	5/22/84	Michaels			
	22	4,455,145	6/19/84	Theeuwes			
	23	4,474,575	10/2/84	Eckenhoff, et al.			
	24	4,498,843	2/12/85	Schneider et al.			
	25	4,526,569	7/2/85	Bernardi			
	26	4,552,651	11/12/85	Sandbrook, et al.			

EXAMINER

DATE CONSIDERED

\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

 FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. CTLIMM.001CP2	APPLICATION NO. 09/776,232
	APPLICANT Kündig, et al.	
	FILING DATE February 2, 2001	GROUP Unknown

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	27	4,561,856	12/31/85	Cochran			
	28	4,619,652	10/28/86	Eckenhoff, et al.			
	29	4,643,723	2/17/87	Smit			
	30	4,753,651	6/28/88	Eckenhoff			
	31	4,767,628	8/30/88	Hutchinson et al.			
	32	4,838,862	6/13/89	Baker et al.			
	33	4,855,141	8/8/89	Eckenhoff, et al.			
	34	4,865,598	9/12/89	Eckenhoff			
	35	4,865,845	9/12/89	Eckenhoff, et al.			
	36	4,872,873	10/10/89	Zingerman			
	37	4,898,582	2/6/90	Faste			
	38	4,908,433	3/13/90	Mertlesmann et al.			
	39	4,929,233	5/29/90	Roth et al.			
	40	4,963,141	10/16/90	Eckenhoff			
	41	4,976,966	12/11/90	Theeuwes, et al.			
	42	5,017,381	5/21/91	Maruyama, et al.			
	43	5,023,088	6/11/91	Wong et al.			
	44	5,030,216	7/9/91	Theeuwes et al.			
	45	5,034,229	7/23/91	Magruder, et al.			
	46	5,037,420	8/6/91	Magruder, et al.			
	47	5,057,318	10/15/91	Magruder, et al.			
	48	5,059,423	10/22/91	Magruder, et al.			
	49	5,110,596	5/5/92	Magruder, et al.			
	50	5,110,597	5/5/92	Wong, et al.			
	51	5,135,498	8/4/92	Kam, et al.			
	52	5,135,523	8/4/92	Magruder, et al.			

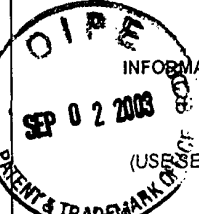
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	APPLICANT Kündig, et al.	
	FILING DATE February 2, 2001	GROUP Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	53	5,137,727	8/11/92	Eckenhoff			
	54	5,169,390	12/8/92	Athayde, et al.			
	55	5,174,999	12/29/92	Magruder, et al.			
	56	5,209,746	5/11/93	Balaban, et al.			
	57	5,221,278	6/22/93	Linkwitz, et al.			
	58	5,223,265	6/29/93	Wong			
	59	5,257,987	11/2/93	Athayde et al.			
	60	5,286,254	2/15/94	Shapland et al.			
	61	5,304,165	4/19/94	Haber et al.			
	62	5,368,562	11/29/94	Blomquist et al.			
	63	5,478,556	12/26/95	Elliott et al.			
	64	5,496,360	3/5/96	Hoffmann et al.			
	65	5,580,859	12/03/96	Felgner et al.			
	66	5,589,466	12/31/96	Felgner et al.			
	67	5,679,647	10/21/97	Carson et al.			
	68	5,698,396	12/16/97	Pfreundschuh			
	69	5,733,548	03/31/98	Restifo et al.			
	70	5,744,316	4/28/98	Lethe et al.			
	71	5,747,269	5/5/98	Rammensee et al.			
	72	5,846,540	12/08/98	Restifo et al.			
	73	5,856,187	01/05/99	Restifo et al.			
	74	5,962,428	10/05/99	Carrano et al.			
	75	6,037,135	03/14/00	Kubo et al.			

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CTLIIMM.001CP2	APPLICATION NO. 09/776,232
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		FILING DATE February 2, 2001	GROUP Unknown

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	76	2,147,863	05/26/94	Canada				
	77	74899	08/13/97	Ireland				
	78	EP 93/03175	04/06/95	PCT				
	79	WO 92/21033	11/26/92	PCT				
	80	WO 95/17167	06/25/95	PCT				
	81	WO 96/01429	01/18/96	PCT				
	82	WO 96/27008	09/06/96	PCT				
	83	WO 96/40209	12/19/96	PCT				
	84	WO 98/13489	04/02/98	PCT				
	85	WO 98/14464	04/09/98	PCT				
	86	WO 98/27963	07/02/98	PCT				
	87	WO 98/43611	10/08/98	PCT				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
✓	88	Bachman, M.F., et al. (1994) In vitro vs. in vivo assays for the assessment of T-and B cell function. Curr. Opin. Immunol. 6:320-326.
✓	89	Cleland, J.L., et al. (1994) Formulation and delivery of proteins and peptides. American Chemical Society, Acs Symposium Series No. 567.
✓	90	Courvalin, P. et al. (1995) Life Sci. 318:1207-1212.
✓	91	Dietrich, G. et al. (1998) Biotechnology 16:181-185.
✓	92	Durrant LG (1997) Cancer vaccines. Anti-cancer drugs. 8:727-733.
✓	93	Grohmann, U. et al. (1991) Intraspinal immunization for the induction of humoral and cell-mediated immunity to nitrocellulose-bound antigen. Journal of Immunological Methods. 137:9-15.
✓	94	Haynes, B. F. et al. (1996) Toward an understanding of the correlates of protective immunity to HIV infection. Science. 271:324-327.
✓	95	Inaba, K., et al. (1992) Identification of proliferating dendritic cell precursors in mouse blood. Journal of Experimental Medicine. 175:1157-1167.
✓	96	Jager, E., et al. (1996) Granulocyte-macrophage-colony-stimulating factor enhances immune responses to melanoma-associated peptides in vivo. Int. J. Cancer. 67:54-62.
✓	97	Jager E. et al. (1998) Simultaneous humoral and cellular immune response against cancer-testis antigen NY-ESO-1: definition of human histocompatibility leukocyte antigen (HLA)-A2-binding Peptide Epitopes. J.Exp.Med. 187:265-270.
✓	98	Kundig, T.M. et al. (1992) Skin test to assess virus-specific cytotoxic T-cell activity. Proc. Natl. Acad. Sci. 89:7757-7761.
✓	99	Kundig, T.M. et al. (1995) Fibroblasts as efficient antigen-presenting cells in lymphoid organs. Science. 268:1343-1347.

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✓	100	Kündig, T.M. et al. (1996) On the role of antigen in maintaining cytotoxic T cell memory. Proc. Natl. Acad. Sci. 93:9716-9723.
✓	101	Moskophidis D. et al. (1995) Immunobiology of Cytotoxic T-cell escape mutants of lymphocytic choriomeningitis virus. Journal of Virology. 69:4:2187-2193.
✓	102	Oehen S. et al. (1992) Antivirally protective cytotoxic T cell memory to lymphocytic choriomeningitis virus is governed by persisting antigen. J.Exp.Med. 176:1273-1281.
✓	103	Oldstone, M. et al. (1995) Discriminated selection among viral peptides with the appropriate anchor residues: Implications for the size of the cytotoxic T-lymphocyte repertoire and control of viral infection. Journal of Virology. 69:12:7423-7429.
✓	104	Pantaleo G. et al. (1997) Evidence for rapid disappearance of initially expanded HIV-specific CD8+ T cell clones during primary HIV infection. Proc. Natl. Acad. Sci. 94:9848-9853.
✓	105	Peters, R.I. et al. (1984) Tryptophan and serotonin metabolism after sustained tryptophan infusion. Neurochem. Int. 6:5:685-691.
✓	106	Pfeiffer, et al. "Insulin Pump Therapy" 3.1 to 3.2.4 pg. 14-33
✓	107	Puccetti P. et al. (1994) Use of skin test assay to determine tumor-specific CD8+ T cell reactivity. Eur. J. Immunol. 24:1446-1452.
✓	108	Rammensee, H.G. et al. (1995) MHC ligands and peptide motifs: first listing. Immunogenetics.41:178-228.
✓	109	Rammensee, H.G. et al. (1997) MHC ligands and peptide motifs. Landes Bioscience Austin Texas. Chapter 4:217-369.
✓	110	Remington (1985) The science and practice of pharmacy, Nineteenth Edition: Chapters 86-88.
✓	111	Santus G. et al. (1995) Osmotic drug deliver: a review of patent literature. Journal of Controlled Release. 35:1-21.
✓	112	Simard, John J.L., et al.; 09/560,465; April 28, 2000; EPITOPE SYNCHRONIZATION IN ANTIGEN PRESENTING CELLS.
	113	Simard, John J.L., et al.; 09/561,074; April 28, 2000; METHOD OF EPITOPE DISCOVERY.
	114	Simard, John J.L., et al.; 09/561,571; April 28, 2000; EPITOPE CLUSTERS.
	115	Simard, John J.L., et al.; 09/561,572; April 28, 2000; EXPRESSION VECTORS ENCODING EPITOPES OF TARGET-ASSOCIATED ANTIGENS.
✓	116	Sizemore, D.R. et al. (1995) Science 270:299-302.
✓	117	Speiser, D.E. et al. (1997) Self antigens expressed by solid tumors do not efficiently stimulate naïve or activated T cells: implications for immunotherapy. J. Exp. Med. 186:645-653.
✓	118	Steinman R.M. (1991) The dendritic cell system and its role in immunogenicity. Annu. Rev. Immunol. 9:271-296.
✓	119	Wiseman C. et al. (1993) Clinical responses to intralymphatic whole-cell melanoma vaccine augmented by in vitro incubation with alpha-interferon. Annals of the New York Academy of Sciences. 690:388-391.
✓	120	Wiseman C.L. et al. (1989) Clinical responses with active specific intralymphatic immunotherapy for cancer – A phase I-II trial. The Western Journal of Medicine. 151:283-288.
✓	121	Young J. W. et al. (1996) Dendritic cells as adjuvants for class I major histocompatibility complex-restricted antitumor immunity. J.Exp.Med. 183:7-11.
✓	122	Zipkin I. (1998) Cancer vaccines. BioCentury. 6:A1-A6.

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